



PATENT
Attorney Docket No. ASC-058B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Leitz *et al.*
SERIAL NO.: 10/646,353 GROUP NO.: 2811
FILING DATE: August 22, 2003 EXAMINER: Not Yet Assigned
TITLE: Semiconductor Heterostructures Having Reduced Dislocation Pile-Ups
and Related Methods

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 13 day of January, 2004.


Emily Walsh

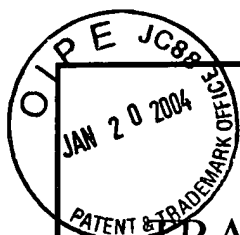
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Supplemental Information Disclosure Statement (1 pg.);
3. Form PTO-1449 (1 pg.);
4. copies of cited references B49-B51 and C132-C135;
5. return receipt postcard; and
6. this Certificate of First Class Mailing (1 pg.).

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TRANSMITTAL FORM

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|---------------------------|------------------|
| Application Serial Number | 10/646,353 |
| Filing Date | August 22, 2003 |
| First Named Inventor | Leitz |
| Group Art Unit | 2811 |
| Examiner Name | Not Yet Assigned |
| Attorney Docket No. | ASC-058B |
| Patent No. | Not Applicable |
| Issue Date | Not Applicable |

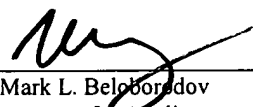
ENCLOSURES (check all that apply)

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|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) |
| <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____] | <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 |
| <input type="checkbox"/> Petition for Extension of Time | <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application | <input type="checkbox"/> Additional Enclosure(s) (please identify below) |
| <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (B49-B51 and C132-C135) | <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> Amendment After Allowance | |
| <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate) | |

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Attorney Docket No. PATENT
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SERIAL NUMBER: 10/646,353

ART UNIT: 2811

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EXAMINER: Not Yet Assigned

TITLE: Semiconductor Heterostructures Having Reduced Dislocation
Pile-Ups and Related Methods

Commissioner for Patents
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Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent documents and non-patent publications are enclosed.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed before the mailing of the first Office action on the merits. Applicants believe no fees are due for this paper to be entered and considered, but the Commissioner is hereby authorized to charge Deposit Account No. 20-0531 for any required fees that may be due.

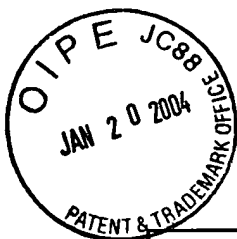
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| FORM PTO - 1449 | | | | ATTORNEY DOCKET NO.: ASC-058B | | | | | |
| SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | | | | APPLICANTS: Leitz <i>et al.</i> | | | | | |
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| | | | | GROUP: 2811 | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE | | |
| | A176 | 5,387,796 | 02/07/1995 | Joshi <i>et al.</i> | | | | | |
| | A177 | 5,434,102 | 07/18/1995 | Watanabe <i>et al.</i> | | | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUNTRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTRACT ONLY | ENGLISH LANG (Y/N) |
| | B49 | 2-210816 | 08/22/1990 | JP | | | | N | Abstract |
| | B50 | 3-36717 | 02/18/1991 | JP | | | | N | Abstract |
| | B51 | 61-14116 | 06/28/1986 | JP | | | | N | Abstract |
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| OTHER ART, JOURNAL ARTICLES, ETC. | | | | | | | | | |
| EXAM. INIT. | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | |
| | C132 | Feichtinger et al., "Misfit Dislocation Nucleation Study in p/p+ Silicon," <u>Journal of the Electrochemical Society</u> , 148 (7) (2001), pp. G379-G382. | | | | | | | |
| | C133 | Grillot <i>et al.</i> , "Acceptor diffusion and segregation in (Al _x Ga _{1-x}) _{0.5} In _{0.5} P heterostructures," <u>Journal of Applied Physics</u> , Vol. 91, No. 8 (April 15, 2002), pp. 4891-4899. | | | | | | | |
| | C134 | Hsu <i>et al.</i> , "Surface morphology of related GexSi1-x films," <u>Applied Physics Letters</u> , 61 (11) (September 14, 1992), pp. 1293-1295. | | | | | | | |
| | C135 | "How to Make Silicon," Wacker University, http://www.wafernet.com/PresWK/h-ptl-as3_wsc_siltronic_com_pages_training_pages_Silic... , August 28, 2002. | | | | | | | |
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| EXAMINER | | | | | DATE CONSIDERED | | | | |